



Important Notice
National Securities Clearing Corporation

A#:	7685
P&S #:	7355
Date:	02/21/2014
To:	ALL PARTICIPANTS
Attention:	OPERATIONS PARTNER/OFFICER; MANAGER P&S DEPARTMENT; CASHIER; ACATS PARTICIPANTS; FUND/SERV PARTICIPANTS; MUNICIPAL BOND COMPARISON PARTICIPANTS
From:	ACCOUNT ADMINISTRATION
Subject:	CHANGES IN THE LIST OF PARTICIPANTS

- The following firm will no longer participate in the Networking, DTCC Payment aXis, Omni/SERV Activity & Position, ACATS Fund/SERV and MF – Profile services, as detailed below:
Last Trade Date, February 21, 2014:
Morgan Stanley & Co. LLC No. 5857
- The following firm will begin participation in the MF – Profile service, as detailed below:
First Trade Date, March 3, 2014:
Northern Lights Distributors, LLC/Princeton Futures Strategy Fund No. 5381
- The following firm will begin participation in the Omni/SERV Activity & Position service, as detailed below:
First Trade Date, March 3, 2014:
Quasar Distributors LLC/Hennessy Mutual FDS Inc No. 4869
- The following firm will begin participation in the Insurance Processing Service as detailed below:
First Trade Date, February 25, 2014:
William Penn Life Insurance Company of New York No. 7977
- The following additional number has been assigned to ALPS Distributors, Inc. (#5642) for the purpose of utilizing Fund/SERV, Networking, MF - Daily Price & Rate, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:
First Trade Date, February 24, 2014:
ALPS Distributors, Inc./Riverside Funds No. 3028
Networking Symbol: RZ
Contact: Brian Montgomery
Phone: (720) 917-0746

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- The following additional number has been assigned to Northern Lights Distributors, LLC (#4915) for the purpose of utilizing Fund/SERV, Networking, DTCC Payment aXis and ACATS Fund/SERV services as detailed below:

First Trade Date, February 28, 2014:

Northern Lights Distributors, LLC/Issachar Fund

No. 3033

Networking Symbol:

VH

Contact: Mike Nielsen

Phone: (402) 896-7267

- Please update the NSCC Directory dated February 2014 (for OTC Executed-By List) as detailed below:

<u>Clearing Broker Identifiers</u>		<u>Executing Broker Identifiers</u>	
<u>Alpha</u>	<u>Numeric</u>	<u>Alpha</u>	<u>Numeric</u>

Delete Last Trade Date, February 20, 2014

Univest Securities, Inc.

PFCL	0158	UNIV	
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Add First Trade Date, March 3, 2014

Cuttone & Co., Inc.

MSCO	0050	CUGS	
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If you have any questions regarding this notice, please E-mail NSCCAA@DTCC.com.